



**Exhibit 300**  
**Enterprise Architecture Guidance**  
**for Information Technology Investments**

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Enterprise Architecture Division

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## **OMB FRAMEWORK AND REFERENCE MODELS**

In order to answer the Enterprise Architecture (EA) questions of these sections, it is important to be familiar with the OMB Reference Models. To review the reference models in detail, link to [www.feapmo.gov](http://www.feapmo.gov).

### **The Framework**

**Federal Enterprise Architecture (FEA)** is a framework for describing the relationship between business functions and the technologies and information that support them. Major IT investments will be aligned with each reference model in the FEA framework. The reference models are briefly described below.

### **The Reference Models**

**Performance Reference Model (PRM)** – The PRM is a standardized performance measurement framework to characterize performance in a common manner. The PRM will help agencies produce enhanced performance information; improve the alignment and better articulate the contribution of inputs, such as technology, to outputs and outcomes; and identify improvement opportunities that span traditional organizational boundaries.

**Business Reference Model (BRM)** – The BRM is a function-driven framework to describe the Lines of Business and Internal Functions performed by the federal government independent of the agencies that perform them. Major IT investments are mapped to the BRM to identify collaboration opportunities.

**Service Component Reference Model (SRM)** – The SRM provides a common framework and vocabulary for characterizing the IT and business components that collectively comprise an IT investment. The SRM will help agencies rapidly assemble IT solutions through the sharing and re-use of business and IT components. A Component is a self-contained process, service, or IT capability with pre-determined functionality that may be exposed through a business or technology interface.

**Technical Reference Model (TRM)** – The TRM provides a foundation to describe the standards, specifications, and technologies supporting the delivery, exchange, and construction of business (or Service) components and e-Gov solutions. The TRM unifies existing Agency TRMs and electronic Government (e-Gov) -by providing a foundation to advance the re-use of technology and component services from a Government-wide perspective.

**Data Reference Model (DRM) – Future**

## **OMB EXHIBIT 300 EVALUATION CRITERIA**

These are the scoring criteria that OMB will use in evaluating EA in the Exhibit 300. Please note that where OMB refers to “Agency” we have substituted “USDA”.

**(Score of 5)** This project is included in the USDA EA and CPIC process. Project is mapped to and supports the Federal Enterprise Architecture (FEA) and clearly links to the FEA Reference Models (PRM, BRM, SRM, and TRM). Business case (BC) demonstrates business, data, and application, and technology layers of the EA in relationship to this project.

**(Score of 4)** This project is included in the USDA EA and CPIC process. Project is mapped to and supports the Federal Enterprise Architecture, clearly links to the BRM and work is continuing to map to the PRM, SRM, and TRM. BC demonstrates weaknesses in the business, data, and application, and technology layers of the EA in relationship to this project.

**(Score of 3)** This project is not included in the USDA EA and CPIC process or was not approved by the agency EA committee and does not link to the FEA. BC demonstrates a lack of understanding on the layers of the EA (business, data, application, and technology).

**(Score of 2)** While the USDA has an EA Framework, it is not implemented in the component agency and does not include this project.

**(Score of 1)** There is no evidence of a comprehensive EA in the USDA.

## **OMB USE OF EXHIBIT 300**

In addition to use for the FY-2005 budget process the information provided in response to Exhibit 300 EA questions will be loaded into the Federal Enterprise Architecture Management System (FEAMS) for use in Federal EA decision-making.

## SPECIFIC GUIDANCE FOR UNIQUE PROJECT IDENTIFIER

The unique project identifier (UPI), a 23-digit number, must be created for all IT projects. The UPI is based, in part, on the sub-functions found in the Business Reference Model. It will be used on the specific 300 for the investment as well as the Exhibit 53. The table where it is entered in the Exhibit 300 is shown below.

Please note: OMB has released the sub-function codes needed to create the UPI. These codes may be referenced through the following URL:

[Additional Guidance on the FEA-Related Requirements](#)

### Exhibit 300: Part I: Capital Asset Plan and Business Case (All Assets)

Date of this

Submission

Agency

Bureau

Location in the

Budget

Account Title

Account

Identification Code

Program Activity

Name of Project

**Unique Project Identifier: (IT only)** *A UPI should be created for all IT projects.*

Project Initiation

Date

Project Planned Completion Date

This Project is: Initial Concept\_\_\_\_ Planning\_\_\_\_ Full Acquisition\_\_\_\_ Steady State\_\_\_\_

Mixed Life Cycle\_\_\_\_

Below is a description of the number coding sequence of the UPI:

Entry:	Description:
XXX-xx-xx-xx-xx- xxxx-xx-xxx-xxx	The first three digits are your agency (USDA) code (see Appendix C).
xxx-XX-xx-xx-xx- xxxx-xx-xxx-xxx	The next two digits are your bureau (USDA agency) code (see Appendix C). If this is a department only reporting, use 00 as your bureau code.
xxx-xx-XX-xx-xx- xxxx-xx-xxx-xxx	These two digits indicate the four parts of exhibit 53: <ul style="list-style-type: none"> <li>• 01 = Part 1. IT Investments by Mission Area</li> <li>• 02 = Part 2. IT Investments for Infrastructure, Office Automation, and</li> </ul>

Entry:	Description:
	<p>Telecommunications</p> <ul style="list-style-type: none"> <li>• 03 = Part 3. IT Investments for Enterprise Architecture and Planning</li> <li>• 04 = Part 4. IT Investments for Grants Management Systems</li> <li>•</li> </ul>
<p>xxx-xx-xx-XX-xx- xxxx-xx-xxx-xxx</p>	<p>These two digits indicate the mission area. Assign a unique code for each mission area reported.</p>
<p>xxx-xx-xx-xx-XX- xxxx-xx-xxx-xxx</p>	<p>These two digits indicate your agency=s type of investment. Select one of the following two digit codes according to the type of investment you are reporting:</p> <ul style="list-style-type: none"> <li>• 01 = Major IT Investments (see definition in Section 53.3)</li> <li>• 02 = Non-major IT investments (see definition in Section 53.3)</li> <li>• 03= Non-major IT investments that are part of a larger asset and for which there is an existing business case for the overall asset. Description of the IT investment should indicate where the 300 for the major asset can be found.</li> <li>• 04 = Major IT Investment that represents a joint effort for more than one agency. Use the 04 indicator to identify projects where the business case for the major IT investment is reported in another agency’s Exhibit 53. Description of the IT investment should indicate where the business case can be found.</li> </ul>
<p>xxx-xx-xx-xx-xx- XXXX-xx-xxx-xxx</p>	<p>This is a four digit identification number that identifies a specific IT investment. If a new project is added to exhibit 53, locate the area of exhibit 53 where you are going to report the IT investment and use the next sequential number as your four digit identification number.</p>
<p>xxx-xx-xx-xx-xx- xxxx-XX-xxx-xxx</p>	<p>These two digits identify which part of the investment you are reporting. Select one of the following two digit codes according to what you report on the title line:</p> <ul style="list-style-type: none"> <li>• 00 = Total investment title line, or the first time the agency is reporting this particular investment. If this is one of the PMC E-Gov initiatives or an individual agency’s participation in one of the PMC E-Gov initiatives, this two-digit code should be “24”.</li> <li>• 04 = Funding source or appropriation</li> <li>• 09 = Any subtotal</li> </ul>

Entry:	Description:
XXX-XX-XX-XX-XX- XXX-XX-XXX-XXX	<p>These three digits identify the primary Business Area and Line of Business from the Federal Enterprise Architecture Business Reference Model that this IT investment supports (Major systems must identify all BRM mappings -- primary and non-primary -- in Section 300 part II). If you cannot identify a primary Line of Business (this is not common), you may identify the appropriate number (1 through 4) for the Business Area followed by two zeros.</p> <ul style="list-style-type: none"> <li>• 1XX: Primary mapping to the Services for Citizen layer</li> <li>• 2XX: Primary mapping to the Mode of Delivery layer</li> <li>• 3XX: Primary mapping to the Support Delivery of Services layer</li> <li>• 4XX: Primary mapping to the Management of Government Resources layer</li> </ul>
XXX-XX-XX-XX-XX- XXX-XX-XXX-XXX	<p>Two digit codes for each of the Lines of Business, as well as the final three digits identify the primary Sub-Function within the Line of Business of the FEA BRM that this IT investment supports (Major systems must identify all BRM mappings -- primary and non-primary -- in Section 300 part II). For those limited circumstances where a primary mapping cannot be identified, please enter 999 as this entry. The code 999 indicates</p>

## SPECIFIC GUIDANCE FOR THE PERFORMANCE ARCHITECTURE

The performance architecture questions are located in Part I, Section C of the Exhibit 300 entitled “Performance Goals and Measures (All Assets).” In order to successfully address this area of the business case, performance goals must be linked to the USDA Strategic Plan for FY 2002- 2007 (<http://www.usda.gov/ocfo/sp2002/sp2002.pdf>), the Departmental Annual Performance Plan, and be accompanied by performance measures. The performance goals must map to a functional gap between existing IT investments and a desired future state where USDA’s business needs will met through a new or better IT environment. The performance measures must be designed to show that the project when completed will fill a gap needed to support USDA’s strategic goals and objectives that this project is designed to fill. Business cases should specify internal and/or external performance benefits that this project is expected to deliver to USDA (e.g., improve efficiency by 60%, increase citizen participation by 300% a year to achieve an overall citizen participation rate of 75% by FY 2\_\_\_, etc.). The goals must state clearly measurable project outcomes, and if applicable, project outputs. Generally these are quantitative measures. Qualitative measures may be used, but sparingly. Please do not use terms such as significant, better, or improved without specifying how much change is expected to occur.

Agencies must use Table 1 for reporting performance goals and measures for projects started prior to 2004. “No Budget or No Funding” answers are unacceptable.

Table 1

Fiscal Year	Strategic Goal(s) Supported	Existing Baseline	Planned Performance Improvement Goal	Actual Performance Improvement Results	Planned Performance Metric	Actual Performance Metric Results
2003	Goal 1					
2003	Goal 2					
2004	Goal 1					
2004	Goal 2					

Table 2 must be used for all new development, modernization, and enhancement (DME) IT investments commencing in fiscal year 2005 and beyond. Federal agencies are required to use the FEA Performance Reference Model (PRM) for new DME investments. PRM Version 1.0 includes detailed information about incorporating appropriate PRM Indicators into the performance goals and measures table. USDA agencies must ensure that the performance information supports the strategic goals and objectives described in I.B.1. (How does this investment support USDA's mission and strategic goals and objectives?)



Table 2

Fiscal Year	Measurement Area	Measurement Category	Measurement Indicator	Baseline	Planned Improvements to the Baseline	Actual Results
2005	See examples	See examples	See examples	Actual or benchmark		
2005	See examples	See examples	See examples	Actual or benchmark		
2005	See examples	See examples	See examples	Actual or benchmark		
2005	See examples	See examples	See examples	Actual or benchmark		
2006	See examples	See examples	See examples	Actual or benchmark		
2006	See examples	See examples	See examples	Actual or benchmark		
2006	See examples	See examples	See examples	Actual or benchmark		
2006	See examples	See examples	See examples	Actual or benchmark		

For each fiscal year, agencies must identify performance information for their major IT investments in four Measurement Areas of the PRM:

- (1) Mission and Business Results,
- (2) Customer Results,
- (3) Processes and Activities, and
- (4) Technology.

Identifying this performance information is critical so that agencies and OMB can understand the full “line of sight” from the proposed IT to outputs and outcomes.

Within each of the four measurement areas required for FY 2005, agencies need to insert the measurement category and measurement indicator in the next two columns to the right. The measurement indicator must be a functional measurement indicator that fits the agency’s specific environment. When available, Sections II and III of PRM 1.0 will provide more information on measurement indicators. If agencies believe their project can benefit from using an Indicator not identified in the PRM, they can use “Other” as needed. The FEA-PMO will review all “Other” Indicators during OMB passback review and refine the PRM as appropriate.

Also, when providing baseline information, OCIO recommends that agencies (1) use actual baseline information when possible, and (2) benchmark a similar agency’s

investment or the private sector in the event that actual baseline data is unavailable, and (3) use initial requirements. It is important to set a baseline for each PRM Indicator. This can be done using current data or previous data that coincides with when the initiative began.

#### Examples of IT Investments Using the PRM to Complete Section I.C, Table 2

Below are three examples of how IT investments could complete Section I.C of the Exhibit 300. Note that no baseline, planned improvement, or target data is provided. This is because these examples are designed to simply illustrate how the PRM structure can be applied to a variety of investments.

Example Table 2 for IRS Free Filing Initiative

Table 2

Fiscal Year	Measurement Area	Measurement Category	Measurement Indicator	Baseline	Planned Improvements to the Baseline	Actual Results
2005	Mission and Business Results	General Government	% of individual returns filed electronically			
2005	Customer Results	Service Coverage	# of citizens filing taxes electronically for the first time			
2005	Processes and Activities	Costs	\$ to government per tax return processed			
2005	Technology	Effectiveness	# of internal users satisfied with IRS Free Filing			
2006	Mission and Business Results	General Government	% of individual returns filed electronically			
2006	Customer Results	Service Coverage	# of citizens filing taxes electronically for the first time			
2006	Processes and Activities	Costs	\$ to government per tax return processed			
2006	Technology	Effectiveness	# of internal users satisfied with IRS Free Filing			

Example Table 2 for Education Grant Initiative

Table 2

Fiscal Year	Measurement Area	Measurement Category	Measurement Indicator	Baseline	Planned Improvements to the Baseline	Actual Results
2005	Mission and Business Results	Education	Postsecondary education enrollment rates for all students			
2005	Customer Results	Service Quality	Percent of grant funding packages meeting customer requirements			
2005	Processes and Activities	Cycle Time & Timeliness	Time to evaluate grant applications and notify institutions of award decisions			
2005	Technology	Reliability	% of unplanned downtime for grants management software			

Example Table 3 for Enterprise Architecture Development Initiative

Table 2

Fiscal Year	Measurement Area	Measurement Category	Measurement Indicator	Baseline	Planned Improvements to the Baseline	Actual Results
2005	Mission and Business Results	Planning and Resource Allocation	Degree to which agency migrates to its IT Enterprise Architecture			
2005	Customer Results	Timeliness & Responsiveness	% of Enterprise Architecture requirements, guidance, and deliverables provided to agency EA staff on schedule			
2005	Processes and Activities	Financial	Cost avoidance attributable to consolidations identified in Target EA			
2005	Technology	Effectiveness	% of internal users who report using the EA management system as intended			

## SPECIFIC GUIDANCE FOR THE BUSINESS ARCHITECTURE

The business architecture questions are located in Part II, Section A, Subsection 1 of the Exhibit 300 entitled “Business.”

**Note: Do not copy/paste help notes into the Exhibit 300. OMB will not accept any departmental “boiler plate” statements or generic notes such as the ones provided below for your information.**

A. Is this investment identified in your agency's (USDA's) enterprise architecture? If not, why?

*This question should be answered from the perspective of the investment's relationship to the evolving USDA Enterprise Architecture. Your response should include the intention of this investment to map to the Department's EA and the Federal Enterprise Architecture.*

*Note: USDA and its component agencies are currently in the process of developing the “As Is” architecture. The cooperative effort includes the resources of the EA Working Group, Department staff, Agency staff, and contractor. support. This architecture is targeted for completion by September 30, 2003.*

A.1 Will this investment be consistent with your agency's (USDA) “to be” modernization blueprint?

This question should be answered from the perspective of the investment's relationship to the evolving USDA Enterprise Architecture. Your response should include the intention of this investment to be included in the Department's blueprint for modernization.

Note: USDA and its component agencies plan to complete the “To Be” architecture by January 2004.

B. Was this investment approved through the EA Review committee at your agency?

This question should be answered from the perspective of the investment's relationship to the evolving USDA Enterprise Architecture and EA governance policies currently being developed.

Note: USDA plans to establish an EA Change and Configuration Board (EACCB). Until the review process for the board are fully mature, the OCIO/Enterprise Architecture Division will review all investment submissions, and make recommendations regarding final approval.

C. What are the major process simplification/reengineering/design projects that are required as part of this IT investment?

Be sure to include any relationship this investment may have to the Presidential Initiatives, including expanding eGovernment. Answer specifically for this investment, including what is planned – no TBD answers.

D. What are the major organization restructuring, training, and change management projects that are required?

Answer specifically for this investment, including what is planned for organization changes, training, etc. – no TBD answers.

E. Please list the Lines of Business and Sub-Functions from the FEA Business Reference Model that this IT investment supports.

The primary BRM mapping for this initiative should be identified with the last six digits of the Unique Project Identifier. For a list of the BRM Lines of Business and Sub-Functions, as well as on mapping to the BRM, please see [http://www.feapmo.gov/resources/fea\\_brm\\_release\\_document\\_rev\\_2.pdf](http://www.feapmo.gov/resources/fea_brm_release_document_rev_2.pdf)

Note: From the four business categories: Services to Citizens, Mode of Delivery, Support Delivery of Services, & Management of Government Resources – the one primary Line of Business is identified in the Unique Project Identifier.

Questions to help in selecting one primary Line of Business used in developing the Unique Project ID:

- Does your IT investment **DIRECTLY** support the automation of key processes associated with the delivery of one of the Service for Citizen Lines of Business or Sub-Functions?

Examples: (weather forecasting systems, criminal surveillance systems, air traffic monitoring systems, etc.)

- Does your IT investment **INDIRECTLY** support the delivery of one of the Service for Citizen Lines of Business or Sub-Functions by automating the processes associated with a Mode of Delivery or a MOD Sub-Function?

Examples: (grant processing systems, permit issuance systems, engineering/construction support systems, etc.)

- Is your IT investment primarily associated with the automation of a Support Delivery of Services function?

Examples: (EA and capital planning systems, rulemaking systems, etc.)

- Is your IT investment PRIMARY purpose the automation of a Management of Government resource function for an agency or a branch of an agency?

Examples: (core accounting systems, IT infrastructure initiatives, procurement systems, HR systems, etc.)

After the Primary Line of Business has been established in the Unique Project Identifier (UPI), include any additional Lines of Business mappings related to this investment in the following table:

If you choose to re-state the investment’s Primary Line of Business in this table, please identify it as “primary”; and then continue with the additional mappings.

Line of Business	Sub-function
<i>** Refer to the BRM 2.0 reference model. Align the investment to the appropriate additional lines of business and list in this table. See p. 1-23.</i>	<i>** Align the investment to the appropriate sub-functions and list in this table.</i>

## **SPECIFIC GUIDANCE FOR THE DATA ARCHITECTURE**

The data architecture questions are located in Part II, Section A, Subsection 2 of the Exhibit 300 entitled “Data”

- A. What types of data will be used in this project?

Examples of data types are health data, geospatial data, natural resource data, financial data, producer data, statistical data, program summary data, etc.

Answer specifically for this investment, including what is planned – no TBD answers.

- B. Does the data needed for this project already exist at the Federal, State, or Local level? If so, what are your plans to gain access to that data?

If you are currently sharing data with another Department of agency through a Memorandum of Understanding, include this fact in the response.

Answer specifically for this investment, including what is planned – no TBD answers.

- C. Are there legal reasons why this data cannot be transferred? If so, what are they and did you address them in the barriers and risk sections above?

If the information related to this investment has market-sensitive issues, privacy issues, or copyright issues, etc., include such information in the response.

Answer specifically for this investment, including what is planned – no TBD answers.

- D. If this initiative processes spatial data, identify planned investments for spatial data and demonstrate how the agency ensures compliance with the Federal Geographic Data Committee standards required by OMB Circular A-16.

For further information refer to

[http://www.whitehouse.gov/omb/circulars/a016/a016\\_rev.html](http://www.whitehouse.gov/omb/circulars/a016/a016_rev.html).

Answer specifically for this investment, including what is planned – no TBD answers.

- E. If this activity involves the acquisition, handling or storage of information that will be disseminated to the public or used to support information that will be disseminated to the public, explain how it will comply with your agency’s Information Quality guidelines (Section 515 requirements)?



For further information refer to

<http://www.whitehouse.gov/omb/fedreg/reproducible2.pdf>.

See also Attachment II for a list of OMB Section 515 information quality definitions.

Answer specifically for this investment, including what is planned – no TBD answers.

- F. Managing business information means maintaining its authenticity, reliability, integrity, and usability and providing for its appropriate disposition. Address how the system will manage the business information (records) that it will contain throughout the information life cycle.

Check with your agency's records management specialist to determine how data and information associated with this investment will be managed.

Answer specifically for this investment, including what is planned – no TBD answers.

## **SPECIFIC GUIDANCE FOR THE APPLICATIONS AND TECHNOLOGY ARCHITECTURES**

The applications and technology architecture questions are located in Part II, Section A, Subsection 3 entitled: Applications, Components, and Technology

- A. Discuss this major investment in relationship to the Service Component Reference Model Section of the FEA.

A “component” can be defined as a self-contained business process or service with predetermined functionality.

(See p.13 of the SRM Release Document for a detailed explanation.)

Include a discussion of the components included in this major IT investment (e.g., Knowledge Management, Content Management, Customer Relationship Management, etc). In order to answer this question for a specific investment, review the SRM, pgs. 13-30. This reference provides a basis for mapping the components of the investment to a service domain (area of customer service). It provides a listing of the service domains, types, and specific components.

For detailed regarding components, please refer to <http://www.feapmo.gov/> and the SRM Release Document. See also [http://www.feapmo.gov/resources/fea\\_srm\\_release\\_document\\_rev\\_1.pdf](http://www.feapmo.gov/resources/fea_srm_release_document_rev_1.pdf)

- B. Are all of the hardware, applications, components, and web technology requirements for this project included in the Agency EA Technical Reference Model? If not, please explain.

In order to answer this question for a specific investment, review the TRM, pgs. 20-62. This reference provides a basis for mapping the service areas of the investment to specific technologies and products.

For further information refer to [http://www.feapmo.gov/resources/fea\\_trm\\_release\\_document\\_rev\\_1.pdf](http://www.feapmo.gov/resources/fea_trm_release_document_rev_1.pdf)

- C. Discuss this major IT investment in relationship to the Technical Reference Model Section of the FEA.

Identify each Service Area, Service Category, Service Standard, and Service Specification that collectively describes the technology supporting the major IT investment.

For detailed information regarding the FEA TRM, please refer to <http://www.feapmo.gov/>. In order to answer this question for a specific investment, review the TRM Release Document, pgs. 63-66.

- D. Will the application leverage existing components and/or applications across the Government (i.e., First Gov, Pay.Gov, etc). If so, please describe.

From the perspective of the TRM, discuss the leverage/increased effectiveness of components shared.

- E. Financial Management Systems and Projects, as indicated in Part One, must be mapped to the agency's financial management system inventory provided annually to OMB. Please identify the system name(s) and system acronym(s) as reported in the most recent systems inventory update required by Circular A-11 Section 52.4.

List financial systems and acronyms reported in the Exhibit 52.

For further information on the Circular A-11 Section 52.4 refer to <http://www.whitehouse.gov/omb/circulars/a11/2002/S52.pdf>

## **ATTACHMENT I: NOTES ON EXHIBIT 53, PART 3, EA AND PLANNING**

Exhibit 53, Part 3 is entitled “Enterprise Architecture and Planning.”

Report amounts for IT investments that support strategic management of IT operations (e.g., business process redesign efforts that are not part of an individual project or initiative, enterprise architecture development, capital planning and investment control processes, procurement management, and IT policy development and implementation).

For further OMB Circular A-11 information, refer to:  
[http://www.ocio.usda.gov/irm/cap\\_plan/index.html](http://www.ocio.usda.gov/irm/cap_plan/index.html)

This line item will be included in the combined USDA EA 300, and reported in the OCIO Exhibit 53.

## ATTACHMENT II: OMB INFORMATION QUALITY GUIDELINES

### OMB Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information – Section 515

#### V. Definitions.

1. "**Quality**" is an encompassing term comprising utility, objectivity, and integrity. Therefore, the guidelines sometimes refer to these four statutory terms, collectively, as "quality."
2. "**Utility**" refers to the usefulness of the information to its intended users, including the public. In assessing the usefulness of information that the agency disseminates to the public, the agency needs to consider the uses of the information not only from the perspective of the agency but also from the perspective of the public. As a result, when reproducibility and transparency of information are relevant for assessing the information's usefulness from the public's perspective, the agency must take care to ensure that reproducibility and transparency have been addressed in its review of the information.
3. "**Objectivity**" involves two distinct elements, presentation and substance.
  - A. "Objectivity" includes whether disseminated information is being presented in an accurate, clear, complete, and unbiased manner. This involves whether the information is presented within a proper context. Sometimes, in disseminating certain types of information to the public, other information must also be disseminated in order to ensure an accurate, clear, complete, and unbiased presentation. Also, the agency needs to identify the sources of the disseminated information (to the extent possible, consistent with confidentiality protections) and, in a scientific or statistical context, the supporting data and models, so that the public can assess for itself whether there may be some reason to question the objectivity of the sources. Where appropriate, supporting data should have full, accurate, transparent documentation, and error sources affecting data quality should be identified and disclosed to users.
  - B. In addition, "objectivity" involves a focus on ensuring accurate, reliable, and unbiased information. In a scientific or statistical context, the original or supporting data shall be generated, and the analytical results shall be developed, using sound statistical and research methods.
    - i. If the results have been subject to formal, independent, external peer review, the information can generally be considered of acceptable objectivity.
    - ii. In those situations involving influential scientific or statistical information, the results must be capable of being substantially reproduced,

if the original or supporting data are independently analyzed using the same models. Reproducibility does not mean that the original or supporting data have to be capable of being replicated through new experiments, samples or tests.

iii. Making the data and models publicly available will assist in determining whether analytical results are capable of being substantially reproduced. However, these guidelines do not alter the otherwise applicable standards and procedures for determining when and how information is disclosed. Thus, the objectivity standard does not override other compelling interests, such as privacy, trade secret, and other confidentiality protections.

4. "**Integrity**" refers to the security of information -- protection of the information from unauthorized access or revision, to ensure that the information is not compromised through corruption or falsification.

5. "**Information**" means any communication or representation of knowledge such as facts or data, in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms. This definition includes information that an agency disseminates from a web page, but does not include the provision of hyperlinks to information that others disseminate. This definition does not include opinions, where the agency's presentation makes it clear that what is being offered is someone's opinion rather than fact or the agency's views.

6. "**Government information**" means information created, collected, processed, disseminated, or disposed of by or for the Federal Government.

7. "**Information dissemination product**" means any book, paper, map, machine-readable material, audiovisual production, or other documentary material, regardless of physical form or characteristic, an agency disseminates to the public. This definition includes any electronic document, CD-ROM, or web page.

8. "**Dissemination**" means agency initiated or sponsored distribution of information to the public (see 5 C.F.R. 1320.3(d) (definition of "Conduct or Sponsor"). Dissemination does not include distribution limited to government employees or agency contractors or grantees; intra- or inter-agency use or sharing of government information; and responses to requests for agency records under the Freedom of Information Act, the Privacy Act, the Federal Advisory Committee Act or other similar law. This definition also does not include distribution limited to correspondence with individuals or persons, press releases, archival records, public filings, subpoenas or adjudicative processes.

9. "**Influential**" when used in the phrase "influential scientific or statistical information" means the agency expects that information in the form of analytical results will likely have an important effect on the development of domestic or international government or

private sector policies or will likely have important consequences for specific technologies, substances, products or firms.

10. "**Capable of being substantially reproduced**" means that independent reanalysis of the original or supporting data using the same methods would generate similar analytical results, subject to an acceptable degree of imprecision.

## **ATTACHMENT III: OCIO EVALUATION CRITERIA**

**Below are questions that will be used by OCIO to evaluate Exhibit 300 architecture responses prior to submission to OMB.**

### **OVERALL ENTERPRISE ARCHITECTURE**

- 1 Was the investment reviewed and approved by the EA Committee?
- 2 Is the investment part of USDA's modernization blueprint?
- 3 Does it discuss legal issues that may need to be addressed?

### **PERFORMANCE ARCHITECTURE**

- 4 Is the investment related to a PART Review?
- 5 If so, does the business case address that this investment will help close an identified gap?
- 6 Does the project description identify a "Clear" problem the investment will address?
- 7 Does the investment clearly define linkage to the agency strategic goals and performance plans?
- 8 Does it discuss collaboration?
- 9 Is the collaboration within USDA or outside of USDA?
- 10 Does the collaboration clearly depict participation of the partners?
- 11 If it is even remotely related to an E-Gov initiative, does it clearly demonstrate communication and a strategy review to ensure that the investment is not or will not duplicate the E-Gov investment?
- 12 Does the PMA portion address any relationship to the 6 LOB review underway at OMB?
- 13 If the business case discusses reduced costs and improved efficiencies as a result of this investment is there a linkage to the performance goals and measures information and a linkage to the life-cycle costs in out-years?
- 14 If the investment will link to other systems or applications, have those investments been reengineered so that this investment can be as effective and efficient as possible in terms of its place in the information life-cycle?
- 15 Are performance goals and measures provided for all years for which there are planned spending identified?
- 16 For investments existing prior to FY2005, were there performance goals provided in the 2004 budget? If so, are actual results provided for those years?
- 17 Does the investment use the PRM for Table 2 for FY2005 and forward?
- 18 Is there a linkage between stated expectations, market research, and these performance goals?
- 19 Are the performance goals base-lined and functional?



### **BUSINESS ARCHITECTURE**

- 20 Does the investment map to the BRM?
- 21 Does it provide the other than primary business line mapping?

### **APPLICATION ARCHITECTURE**

- 22 Was the FEA consulted for alternatives?
- 23 Is the investment using COTS?
- 24 If not, does the BC provide enough detail that you understand the reason for no COTS product?
- 25 Does the BC describe the extent of modification and why?
- 26 Are financial systems and applications addressed where needed?
- 27 Does the agency attempt to use the SRM for information?

### **DATA ARCHITECTURE**

- 28 Are the GIS (FGDC) standards addressed where appropriate to do so?
- 29 Are the data quality guidelines and issues addressed?
- 30 Does the investment discuss the types of data that will be included in the systems and applications?

### **TECHNOLOGY ARCHITECTURE**

- 31 Does the BC ensure Section 508 compliance?
- 32 If the investment is in phases are they clearly segmented?
- 33 Does the EA description indicate this investment's particulars in terms of the EA?
- 34 Does the agency attempt to use the TRM for information?